

INSTRUCTION	THE MANAGEMENT OF APPEALS	Best ISO-I-12
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## 1. SCOPE

- 1.1. Any person with an interest in the Best ISO certification process including all clients of Best ISO has the right to appeal against any decision made by Best ISO at any stage of registration.
- 1.2. Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

## 2. RESPONSIBILITIES

- 2.1 Responsibilities are as defined in the text of this Best ISO Procedure.

## 3. APPEALS PROCEDURE

- 3.1. Whilst a representation or an appeal is pending, Best ISO will not implement any action which is the subject of the representation or appeal.
- 3.2. In the first instance the appellant makes written representations to the Head of Best ISO. Those instances which cannot be resolved by Best ISO, to the satisfaction of the client, are forwarded to the Compliance and Regulatory Liaison Manager for consideration within seven days. The CRLM's need to send to ICB for investigation shall be communicated in writing.
- 3.3. The appellant shall be advised that should they not be satisfied with Compliance and ICB's decision, then an appeal will need to be lodged, together with the prescribed deposit. The deposit is refundable in full if the appeal is successful.
- 3.4. Once Best ISO receive confirmation from the appellant that they wish to enter into the formal appeals procedure, all the details of the appeal will be forwarded to the Chairman of the ICB, (see Note below). The decision of the ICB is binding upon Best ISO.
- 3.5. An Appeals Committee will be established within 28 days of notification of the appeal being received.
- 3.6. The Appeals Committee consists of at least 3 members selected from persons nominated by the chairman of ICB, none of whom shall be an Best ISO employee. Nor shall any member of the Appeal Committee have any vested or commercial interest in the matter of the appeal. The representation of the members of Appeal Committee will be such that no one interest shall predominate.
- 3.7. In the event that the appellant lodges an objection to a member of the Appeals Committee, the Chairman of the ICB will consider the grounds given and will make a recommendation.

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- 3.8. The members of the Appeals Committee will sign a declaration of confidentiality and confirm no conflict of interest.
- 3.9. The Chairman of the ICB shall determine when and where the Appeals Committee shall be convened. The Regulatory Affairs will notify the appellant, prior to the meeting of the Appeals Committee, of the identity of the committee members, and affording the appellant the opportunity to raise objection.
- 3.10. It is essential that the committee has access to the relevant industrial, commercial and legal expertise to handle the appeal. It may therefore be necessary to seek an individual from inside or outside of Best ISO to be in attendance in an advisory capacity.
- 3.11. The Appeals Committee will establish its own rules of procedure and may permit the appellant and/or Best ISO to attend the Appeals Committee and to present their case.
- 3.12. The decision of the Appeals Committee will be final and will be communicated to the Chairman of the ICB and then to Regulatory Affairs.
- 3.13. Regulatory Affairs will notify the appellant of the decision of the Appeals Committee by recorded delivery within 5 working days.  
Regulatory Affairs
- 3.14. The ICB shall not amend, or in any way vary, the decision of the Appeals Committee.

PROCEDURE	<b>THE MANAGEMENT OF COMPLAINTS</b>	Best ISO-P-15
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## 1. SCOPE

This procedure is applicable to all complaints and disputes received by Best ISO.

## 2. RESPONSIBILITY

Responsibilities are as defined in the text of this Best ISO Procedure.

## 3. DEFINITIONS

3.1. A customer complaint is defined as an issue of customer dis-satisfaction relating to any aspect of Best ISO's service; which is communicated to a member of Best ISO staff in a formal manner; ie phone enquiries do not constitute complaints unless the client specifically states that he or she is making a complaint. It is critical that complaints are formally communicated in order that an accurate record of the problem may be maintained and so that verbal mis-understandings may be avoided.

3.2. Complaints are defined as valid where Best ISO have failed to fulfil any aspect of our service to a prescribed standard. Invalid complaints are defined as when the substance of the client's complaint relates to levels of service above and beyond what Best ISO would consider normal or whereby after being furnished with all relevant information, the client has failed to understand any aspect of the service being provided by Best ISO.

## 4. SOURCES OF CUSTOMER COMPLAINTS

4.1. Customer complaints can be received by Assessors during visits to the client, at the office.

4.2. Where the complaint is received orally then the recipient will complete the Client Comment Form (Form 20). Such complaints will be treated as a written complaint.

## 5. PROCESSING COMPLAINTS AGAINST Best ISO Best ISO

5.1. For all complaints received:

- The recipient shall complete a Form-20, forwarding it with a copy of correspondence received to the certification dept..
- The certification dept. shall normally acknowledge receipt of the complaint, to the complainant.
- The certification dept. shall co-ordinate a full investigation. This investigation shall include root cause analysis in order to facilitate effective corrective actions.
- Investigations shall, where necessary, include a review of client records and interviews with appropriate persons.
- Results of the investigation shall be communicated to the complainant.

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- A full set of correspondence and findings shall be retained by the certification dept. (for action as in 5.2 below) clearly indicating whether the complaint is valid or invalid.

5.2. When complaints are received direct to the certification dept. the CM shall:

- Where applicable, fill in a Client Comment Form, forwarding a copy of all correspondence and the Client Comment Form if raised to the GCM, GOM, GVM for action as in 5.1
- acknowledge receipt of the complaint to the complainant.
- enter the following information onto a complaints log.
  - reference number
  - date received
  - complainant
  - description of complaint
  - who the complaint is about
  - conclusion
  - date cleared
- keep all relevant information regarding each complaint in a complaints file.

## **6. PROCESSING COMPLAINTS AGAINST Best ISO'S CLIENTS**

### **Best ISO**

- 6.1. Complaints received against clients of Best ISO will be processed as described in paragraph 5 above.
- 6.2. The processing of a complaint against an Best ISO client would not normally include an investigation of the cause. However, the client is to be informed of the complaint, and is to be sent copies of all relevant correspondence with a request that appropriate action is taken by the client. A copy of the complaint and other relevant data will be issued to the applicable Assessor with an instruction for the Assessor to confirm during the next surveillance visit that the client took adequate corrective action.
- 6.3. The findings of any investigation regarding a client of Best ISO are subject to confidentiality, and are not to be disclosed to the complainant unless the written authority of the client has been given.
- 6.4. The GCM/GOM/GVM/CM is to seek a written response from the client, explaining what action has been taken. Although still followed up at the next scheduled surveillance visit, the complaint is closed out on the office database upon receipt of the client's satisfactory response.
- 6.5. There is no requirement to define the validity of complaints against Best ISO clients.

## **7. COMPLAINTS AFFECTING CLIENT'S REGISTRATION TO ISO 9000/ISO14001**

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- 7.1. Where a complaint is made in respect of an action which may affect the client's registration, the matter is referred to the GOM. When advising the client of the outcome of his investigation (see section 6), the certification dept. Manager shall also inform the client of his right to make a representation to the CB (see Best ISO-P-14).
- 7.2. Should the client not be satisfied with proposed resolution then the CM confirms with the client whether or not he intends to make representation to the CB, and informs him of the representation process (see Best ISO-P-14).

## 8. REFERENCES

Section Best ISO-P-14

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